

Texas Commission on Environmental Quality

CHECKLIST WORKSHEET

IHW IMPORTER OF RECORD

Reg Ent Name : _____

Date : _____

Add ID _____

Investigator Name _____

Item No.	Description	Answer	Citations	Notes
	IMPORTER OF RECORD			
1	Does the regulated entity generate SQG or greater quantities of wastes on-site? If yes complete applicable generators checklist.			
2	Is the regulated entity an Importer of Record?			
3	Has the importer of record completed a hazardous waste determination for each solid waste imported?		262.11(b) 262.11(c) 262.11(c)(1) 262.11(c)(2) 262.11(a) 262.11 332.62 262.11(d)	
	Check method(s) used for determination			
A	Listed as a hazardous waste in 40 CFR Part 261, Subpart D?			
B	Process or materials knowledge?			
C	Tested for characteristics as identified in Part 261, Subpart C?			
4	Has the importer documented waste classification determinations on all industrial(including non-hazardous)solid wastes?		335.503(a)(4)(A) 335.513	
A	Check method(s) used for determination: a. Process or materials knowledge? b. Tested for characteristics as identified in Part 261, Subpart C?		335.510 335.511	
5	For each hazardous waste imported, has the importer determined if it is restricted from land disposal?		335.431(c) 268.7(a)	
6	For importers and receivers of recyclable materials and non-hazardous recyclable materials subject to the notification requirements of 335.24 or Subchapter H, was notification of the recycling activity provided as required under 335.6(h)?			
	IMPORTER OF RECORD - RECORD KEEPING AND REPORTING: MANIFEST SYSTEM			
1	Does the importer use waste manifests when shipping Hazardous and Class 1 wastes off-site?		335.10(a) 262.20(a)	

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2	Are waste manifests properly completed and signed? For imported wastes from outside the U.S., were the following changes made to the manifest: a. In place of the name, address, and EPA ID number of the foreign generator, was the name, address, and EPA ID number of the importer used? b. In place of the signature on the certification statement by the foreign generator, did the U.S. importer or his agent sign the certification?		262.20(a) 335.10(d)(1) 335.10(c) 262.23(a) 262.60(b)(2) 262.60(b)(1)	
3	Identify primary off-site disposal/treatment/recycling facilities:			
4	Did the importer designate(on the manifest) a facility which is authorized to receive the waste described on the manifest?		335.10(a)(5) 262.20(b)	
5	For shipments of hazardous waste to a designated facility in an authorized State which has not yet obtained authorization to regulate that particular waste as hazardous, did the Importer assure that the designated facility agrees to sign and return the manifest?		335.10(a)(6) 262.23(e)	
6	For hazardous and Class 1 wastes imported in Texas and consigned to a TSDF in another state, did the importer use the proper state's manifest?		335.10(a)(3)	
7	Has the importer submitted to the TCEQ an exception report within 45 days if the original (white) copy of the manifest was not received back from TSD?		335.13(k) 262.42	
8	Does the facility retain manifests and exception reports for at least three years from the date the waste was accepted by the initial transporter(no longer as required by 335.13(a) & 262.40(d)?		335.13(i) 335.13(k) 262.40(b) 262.40(a)	
	IMPORTER OF RECORD - RECORD KEEPING AND REPORTING: WASTE ACTIVITIES			
1	Does the importer keep records of all hazardous waste and industrial solid waste activities in a format which is retrievable and easy to copy?		335.9(a)(1)	
2	If the facility is an unregistered importer or importer of record, have Foreign Waste Shipment Summaries (F1) been completed correctly and submitted on or before the 25th of each month for shipment originating during the previous month from outside the U.S. and transported through Texas to another state?		335.13(e)	
3	Are records of any tests results, waste analyses or other determinations made in accordance with the hazardous waste determination requirements kept for at least three years from the date that the waste was last sent to an on-site or off-site storage, processing or disposal facility?		335.70(a) 262.40(c)	
4	Are the following records and reports maintained at the facility for at least three years, if applicable: Foreign Waste Shipment Summaries (F1) for out-of-state or foreign shipment, or for shipments from outside the U.S. and transported through Texas to another state?		335.13(d)	

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5	Has the owner or operator submitted, when appropriate, the reports pertaining to releases, fires, and explosions?		327.5	
	IMPORTER OF RECORD - LDR DETERMINATIONS, TREATMENT AND DISPOSAL			
	WASTE IDENTIFICATION AND TESTING			
1	Has the facility operator determined whether restricted wastes or treatment residues exceeded the appropriate treatment standards based on the following.		335.431 268.7(a)	
A	Knowledge of the waste?			
B	Waste determinations?			
I	Did the facility test the waste, an extract, or treatment residue to assure compliance with the applicable treatment standards and prohibitions?			
2	Did the facility determine the underlying constituents for wastes that exhibit the characteristics of ignitability, corrosivity, and organic toxicity?		335.431 268.7(a)	
3	Prior to placement of waste in a land-based unit or prior to disposal, did the waste meet all applicable treatment standards?		335.431 268.40	
4	If the waste or treatment residue is a restricted waste with a delayed effective date, was it placed in a unit that meet all MTRs (unless it meets a specified listed exclusion)?		335.431 268.5(h)(2)	
5	If the answer to either Question I immediately above, is no, is the activity authorized by some exemption, a variance from the LDR requirements, a case-by-case extension, or some other authorization?			
6	If yes, explain the authorized activity:			
	IMPORTER OF RECORD--RECORD KEEPING AND REPORTING:LAND DISPOSAL RESTRICTIONS			
1	Does importer maintain the following records and reports, if applicable, for three years for and Disposal Restrictions(LDR) documentation.		335.431 268.7(a)(8)	
A	LDR notices and certifications for restricted wastes sent to off- site TSDs?			
B	LDR notices and certifications for wastes meeting treatment standards?			
C	Waste analyses used for LDR determinations?			
D	All supporting data for LDR determinations made using knowledge of waste?			
2	Were restricted wastes shipped off-site to an authorized TSDF?		270.1(c)	
3	Did the importer or handler provide the following information to each treatment or storage facility?		268.7(a)(2) 335.431	
A	Importer's EPA Hazardous Waste Number?			

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B	Waste constituents that the treater will monitor, if monitoring will not include all regulated constituents for wastes, F001-F005, F039, D001, D002, D003 and D012-D043?			
C	Wastewater or non-wastewater classification, as defined in 268.2(d) and (f)?			
D	Sub-category of the waste, if applicable?			
E	Manifest number associated with the first shipment of the waste?			
F	For hazardous debris, the contaminants subject to treatment and associated statement?			
G	Waste analysis data, where available?			
4	For wastes meeting treatment standards, did the importer provide the following information along with the initial waste shipment:		335.431 268.7(a)(3)	
A	EPA Hazardous Waste Number?			
B	Waste constituents that will be monitored, if not monitoring for all regulated constituents for waste F001-F005, F039, D001, D002, D003 and D012-D043?			
C	Wastewater or non-wastewater classification?			
D	Sub-category of the waste, if applicable?			
E	Manifest number associated with the shipment of waste?			
F	Waste analysis data, where available?			
G	Certification?			
5	For restricted wastes being shipped off-site that are subject to an LDR exemption, did the importer submit an appropriate notice to the receiving facility that the waste is not prohibited from land disposal?		335.431 268.7(a)(4)	
6	If the importer has shipped lab packs off-site, has the appropriate certification accompanied shipments?		335.431 268.7(a)(9)	

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